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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Attorney Docket No.	740756-2394
First Inventor	Hongyong ZHANG et al
Title	SEMICONDUCTOR DEVICE AND METHOD FOR MANUFACTURING THE SAME
Express Mail Label No.	

**APPLICATION ELEMENTS***(See MPEP chapter 600 concerning utility patent application contents.)*

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 46]  
(preferred arrangement set forth below)
 

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

Drawing(s) (35 U.S.C. 113) Figs. 1A-11D [Total Sheets 9]

Oath or Declaration [Total Sheets 3]
 

- a.  Newly executed (original or copy)
- b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- c.  Application Data Sheet. See 37 CFR 1.76

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 

- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies; or
  - ii.  paper
- c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: Notice of Change of Name and Address

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: 09/439,997 filed November 15, 1999 which itself is a Divisional of Serial No.: 09/233,146 filed January 19, 1999, which itself is a Divisional of Application Serial No.: 08/661,013 filed June 10, 1996, now U.S. Patent No. 5,888,857, which itself is a Divisional of Application Serial No.: 08/341,106 filed November 18, 1994, now U.S. Patent No.: 5,563,426; which itself is a Divisional of Serial No.: 08/160,908 filed December 3, 1993, now U.S. Patent No. 5,403,772.

Prior application information:

Examiner B. Kebede

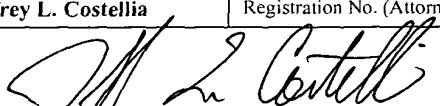
Group / Art Unit: 2823

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	22204 (Insert Customer No. or Attach bar code label here)	<input type="checkbox"/> Correspondence address below
---	--	---

Name	Jeffrey L. Costellia		
Address	NIXON PEABODY LLP 8180 Greensboro Drive, Suite 800		
City	McLean	State	VA
Country	United States	Telephone	(703) 790-9110
		Zip Code	22102
		Fax	(703) 883-0370

Name (Print/Type)	Jeffrey L. Costellia	Registration No. (Attorney/Agent)	#35,483
Signature			Date
			11/26/01

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1244.00)

Complete if Known

Application Number	Not Yet Assigned
Filing Date	November 26, 2001
First Named Inventor	Hongyong ZHANG et al
Examiner Name	B. Kebede
Group Art Unit	2823
Attorney Docket No.	740756-2394

## METHOD OF PAYMENT

## FEE CALCULATION (continued)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

19-2380 (740756-2394)

Deposit Account Name

Nixon Peabody LLP

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit Card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 740.00)

## 2. EXTRA CLAIM FEES

Total Claims	34	-20** =	14	X	Extra Claims	Fee from below	Fee Paid
Independent Claims	6	-3** =	3	X	84.00	=	252.00
Multiple Dependent							

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 504.00)

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge – late filing fee or oath	
127	50	227	25 Surcharge – late provisional filing fee or cover sheet	
139	130	139	130 Non-English transaction	
147	2,520	147	2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	400	200	200 Extension for reply within second month	
117	920	460	460 Extension for reply within third month	
118	1,440	720	720 Extension for reply within fourth month	
128	1,960	228	980 Extension for reply within fifth month	
119	320	219	160 Notice of Appeal	
120	320	220	160 Filing a brief in support of an appeal	
121	280	221	140 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive – unavoidable	
141	1,280	241	640 Petition to revive – unintentional	
142	1,280	242	640 Utility issue fee (or reissue)	
143	460	243	230 Design issue fee	
144	620	244	310 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	740	246	370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370 For each additional invention to be examined (37 CFR § 1.29(b))	
179	740	279	370 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify) _____				

\* Reduced by Basic Filing Fee Paid

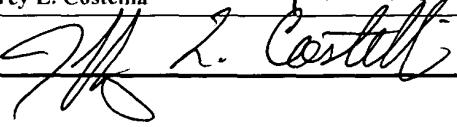
SUBTOTAL (3) (\$)

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on \_\_\_\_\_.

Name: \_\_\_\_\_

Complete (if applicable)

Name (Print/Type)	Jeffrey L. Costellia	Registration No. (Attorney/Agent)	#35,483	Telephone	(703) 790-9110
Signature				Date	11/26/01

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the New **Divisional** Application of )  
Hongyong ZHANG et al ) Art Group: 2823  
Based on US Serial No.: 09/439,997 ) Examiner: B. Kebede  
Which was filed: November 15, 1999 )  
For: SEMICONDUCTOR DEVICE AND ) Date: November 26, 2001  
METHOD FOR MANUFACTURING THE SAME )

NOTICE OF CHANGE OF ADDRESS  
and  
NOTICE OF CHANGE OF NAME

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Effective immediately, please note that the address and the firm name of the attorney of record in the above-referenced application has been changed.

Please direct all future correspondence to:

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Respectfully submitted,



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JLC/sas